Defense Acquisition University

A premier corporate university serving DoD Acquisition, Technology, and Logistics

New Acquisition Policy

Signed 12 May 2003

DoDD 5000.1

DoDI 5000.2

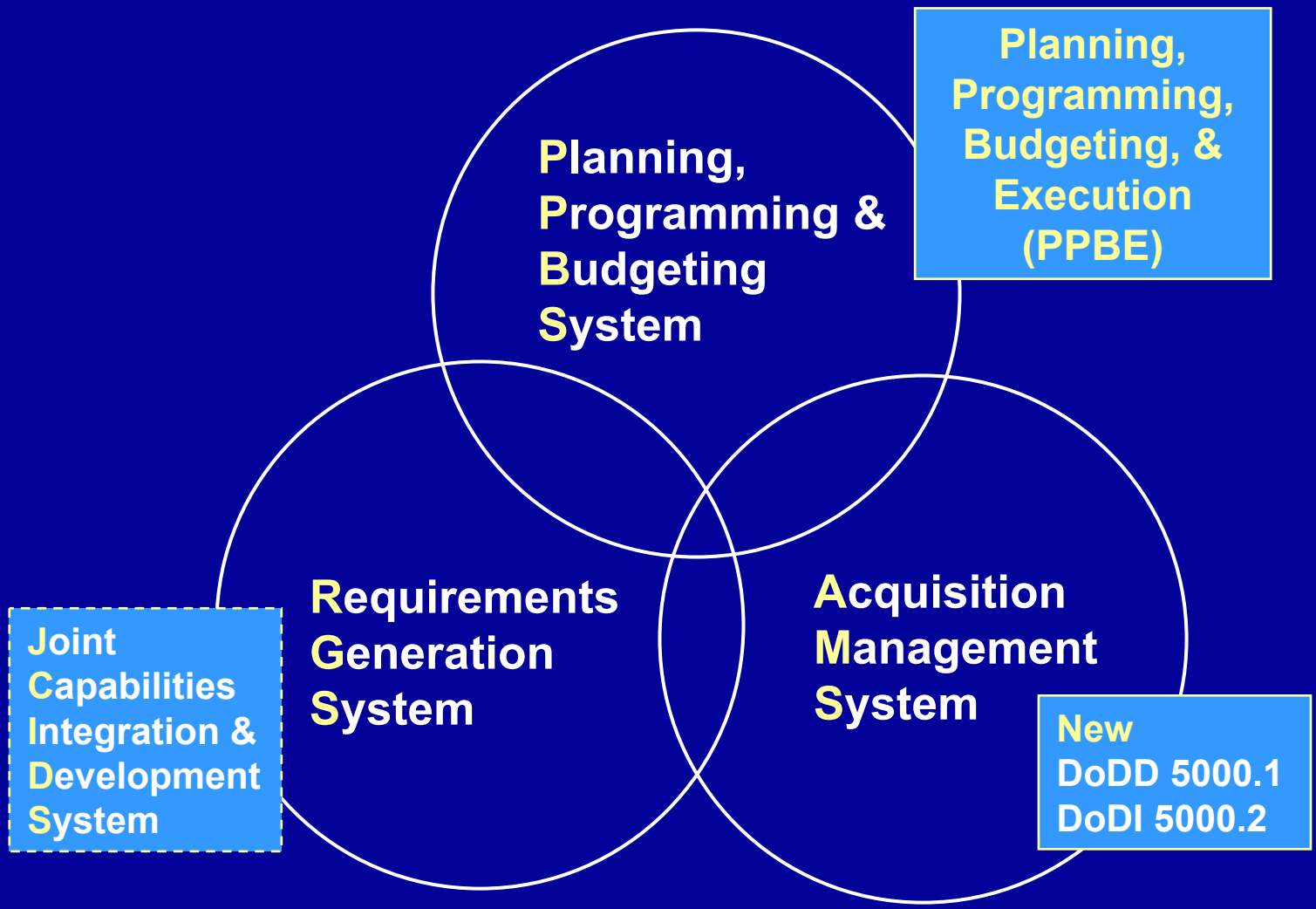
Center for Program Management
Defense Acquisition University

10 June 2003

Briefing Intent

- Provide an abbreviated overview of resvised 5000
- Introduce Evolutionary Acquisition Concept
- Introduce impact of 5000 changes on the Systems Engineer
- Provide information on **AT&L Knowledge Sharing System (AKSS)**

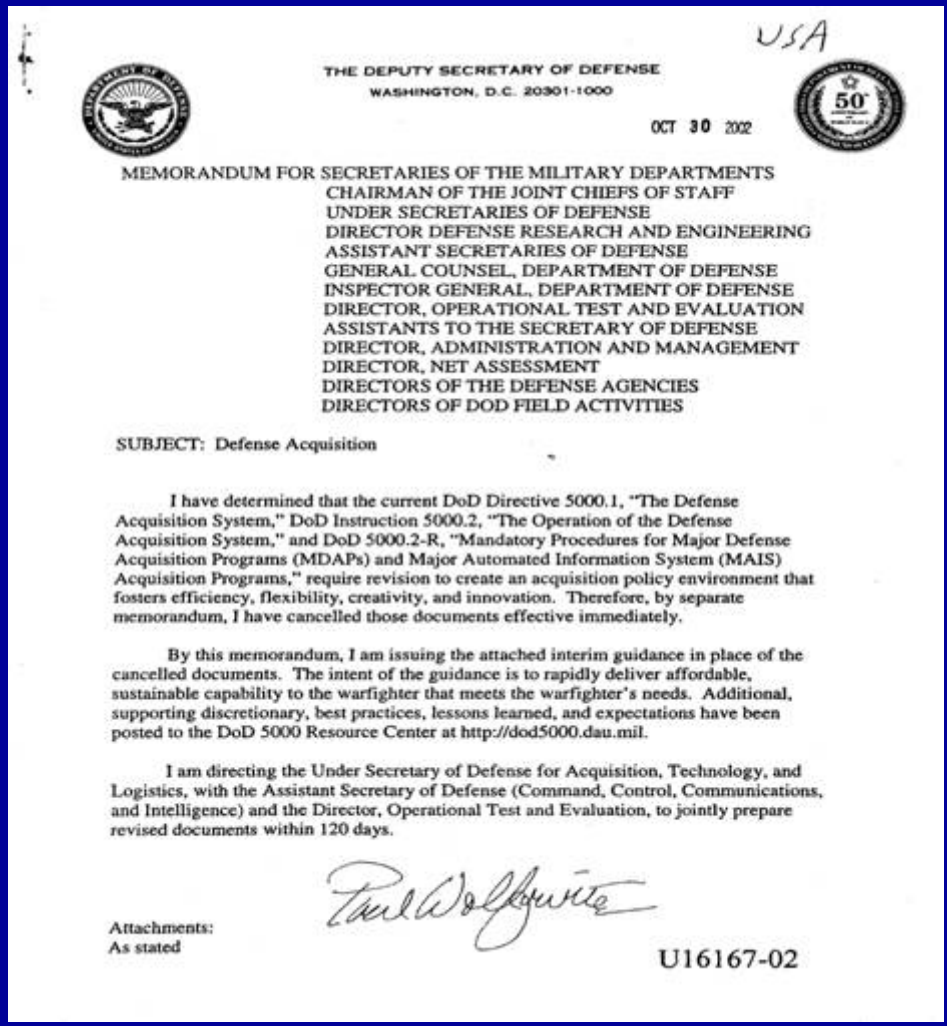
Decision Support Systems



DEPSECDEF Direction

30 October 2002

- Determined that current acquisition policies require revision
- Cancelled DoDD 5000.1, DoDI 5000.2 and DoD 5000.2-R
- Issued interim guidance
- Directed that revised documents be prepared in 120 days



USA

THE DEPUTY SECRETARY OF DEFENSE
WASHINGTON, D.C. 20301-1000

OCT 30 2002

MEMORANDUM FOR SECRETARIES OF THE MILITARY DEPARTMENTS
CHAIRMAN OF THE JOINT CHIEFS OF STAFF
UNDER SECRETARIES OF DEFENSE
DIRECTOR DEFENSE RESEARCH AND ENGINEERING
ASSISTANT SECRETARIES OF DEFENSE
GENERAL COUNSEL, DEPARTMENT OF DEFENSE
INSPECTOR GENERAL, DEPARTMENT OF DEFENSE
DIRECTOR, OPERATIONAL TEST AND EVALUATION
ASSISTANTS TO THE SECRETARY OF DEFENSE
DIRECTOR, ADMINISTRATION AND MANAGEMENT
DIRECTOR, NET ASSESSMENT
DIRECTORS OF THE DEFENSE AGENCIES
DIRECTORS OF DOD FIELD ACTIVITIES

SUBJECT: Defense Acquisition

I have determined that the current DoD Directive 5000.1, "The Defense Acquisition System," DoD Instruction 5000.2, "The Operation of the Defense Acquisition System," and DoD 5000.2-R, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs," require revision to create an acquisition policy environment that fosters efficiency, flexibility, creativity, and innovation. Therefore, by separate memorandum, I have cancelled those documents effective immediately.

By this memorandum, I am issuing the attached interim guidance in place of the cancelled documents. The intent of the guidance is to rapidly deliver affordable, sustainable capability to the warfighter that meets the warfighter's needs. Additional, supporting discretionary, best practices, lessons learned, and expectations have been posted to the DoD 5000 Resource Center at http://dod5000.dau.mil.

I am directing the Under Secretary of Defense for Acquisition, Technology, and Logistics, with the Assistant Secretary of Defense (Command, Control, Communications, and Intelligence) and the Director, Operational Test and Evaluation, to jointly prepare revised documents within 120 days.

Paul Wolfowitz

Attachments:
As stated

U16167-02

DoD Leadership's Intent
For DoD 5000 Revision

"….create an acquisition policy environment that fosters efficiency, flexibility, creativity, and innovation."

DEPSECDEF Wolfowitz, 30 Oct 2002

Revised Policy Objectives

- Encourage innovation and flexibility
- Permit greater judgement in the employment of acquisition principles
- Focus on outcomes vice process
- Empower PM's to use the system vice being hampered by over-regulation

New Acquisition Policy Construct

- ***DoD Directive 5000.1***

  Principles retained; innovation/flexibility emphasized

- ***DoD Instruction 5000.2***

  Focused on required outcomes and statutory requirements and less on regulatory requirements

- ***DoD Regulation 5000.2-R***
  - Cancelled; becomes "guide" not a regulation
  - Provides expectations (TEMP, C4ISP, etc..), best practices and lessons learned

New Acquisition Policy

Oct 2000 - April 2002

- DoD Directive 5000.1
- DoD Instruction 5000.2
- DoD Regulation 5000.2-R

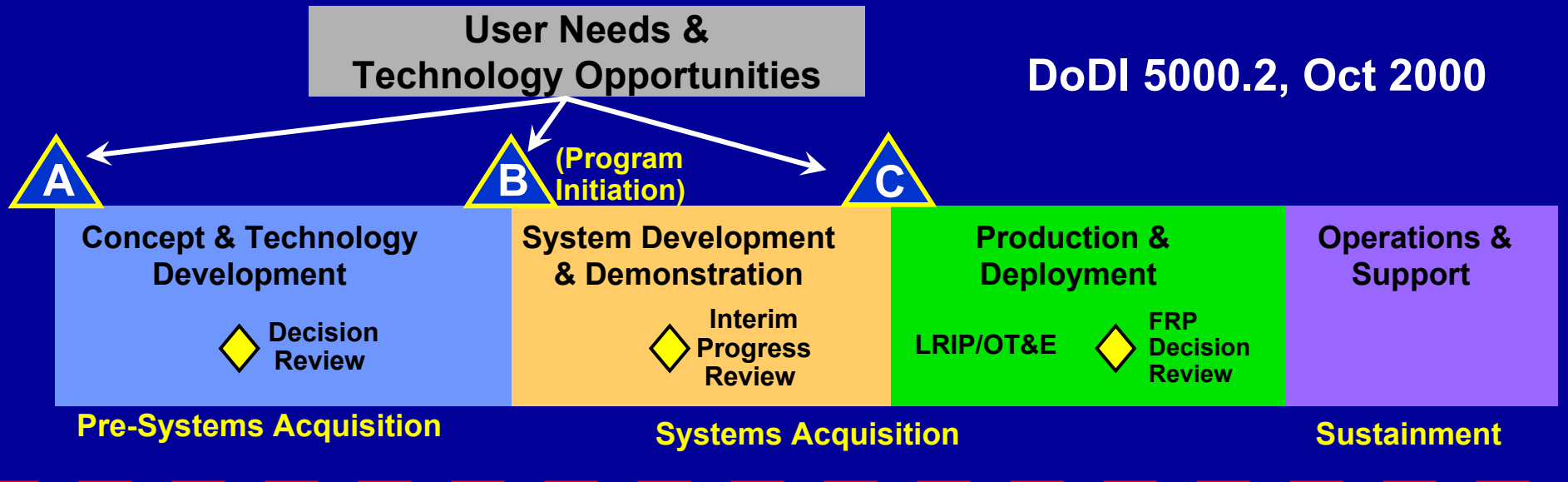
October 2002

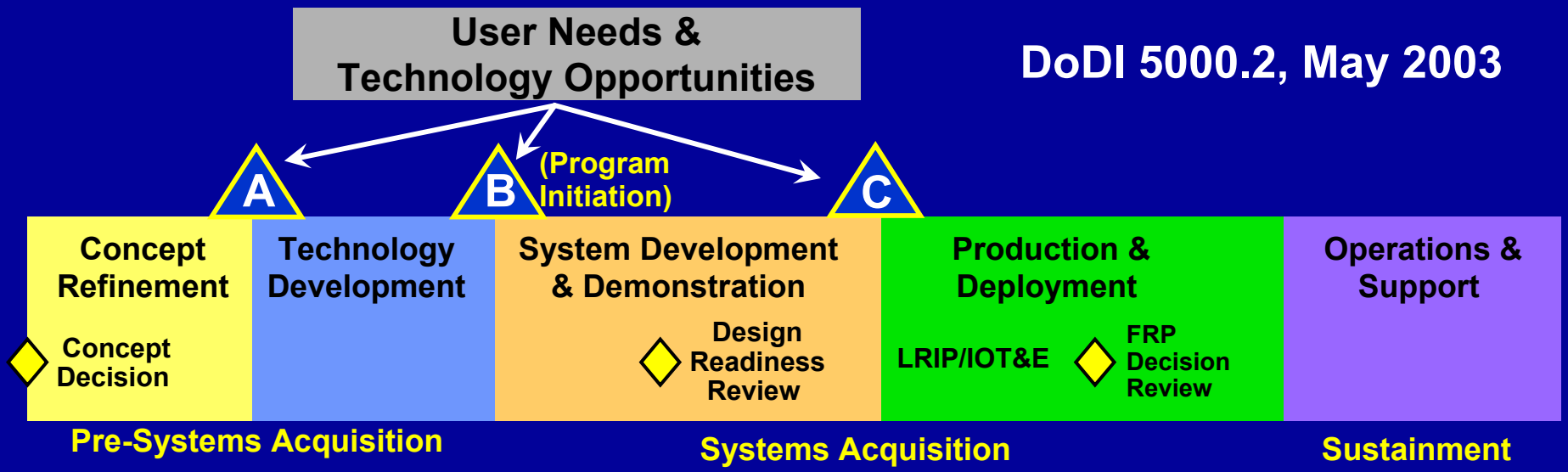
- Interim Guidance:
  - -The Defense Acquisition System
  - -Operation of the Defense Acquisition System
  - -Interim Defense Acquisition Guidebook

May 2003

- DoD Directive 5000.1
- DoD Instruction 5000.2
- Interim Defense Acquisition Guidebook

The Defense Acquisition Management Framework





New 5000 Model Milestones & Phases

2000. OLD: 4 Phases Six potential decision points

- ➔ **Milestone A**, Decision to enter Concept & Technology Development Phase. May enter at:
  - Concept Exploration (CE), or
  - Component Advanced Development (CAD)
  - ➔ *entry at CE may require decision review for CAD*
- ➔ **Milestone B**, Program Initiation, and Decision to enter System Development & Demonstration Phase. May enter at:
  - Systems Integration (SI), or
  - Systems Demonstration (SD)
  - ➔ *entry at SI may require IPR for SD*
- ➔ **Milestone C**, Decision to enter the Production & Deployment Phase
  - LRIP (ACAT I/II), or production/ procurement (ACAT III)
  - ➔ Full-Rate Production Decision Review
  - Operations & Support Phase overlaps Production and Deployment
    - Sustainment
    - Disposal

2003. NEW: 5 Phases Six potential decision points;

- ➔ **Concept Decision** to enter Concept Refinement Phase.
- ➔ **Milestone A**, Decision to enter Technology Development Phase
- ➔ **Milestone B**, Program Initiation and Decision to enter System Development & Demonstration Phase. May enter at
  - System Integration (SI) or
  - System Demonstration (SD)
  - ➔ *entrance into SD requires DRR*
- ➔ **Milestone C**, Decision to enter Production & Deployment Phase
  - LRIP (ACAT I/II), or production/ procurement (ACAT III)
  - ➔ Full-Rate Production Decision Review
  - Operations & Support Phase overlaps Production and Deployment
    - Sustainment
    - Disposal

The Defense Acquisition Management Framework

DoDI 5000.2, May 2003

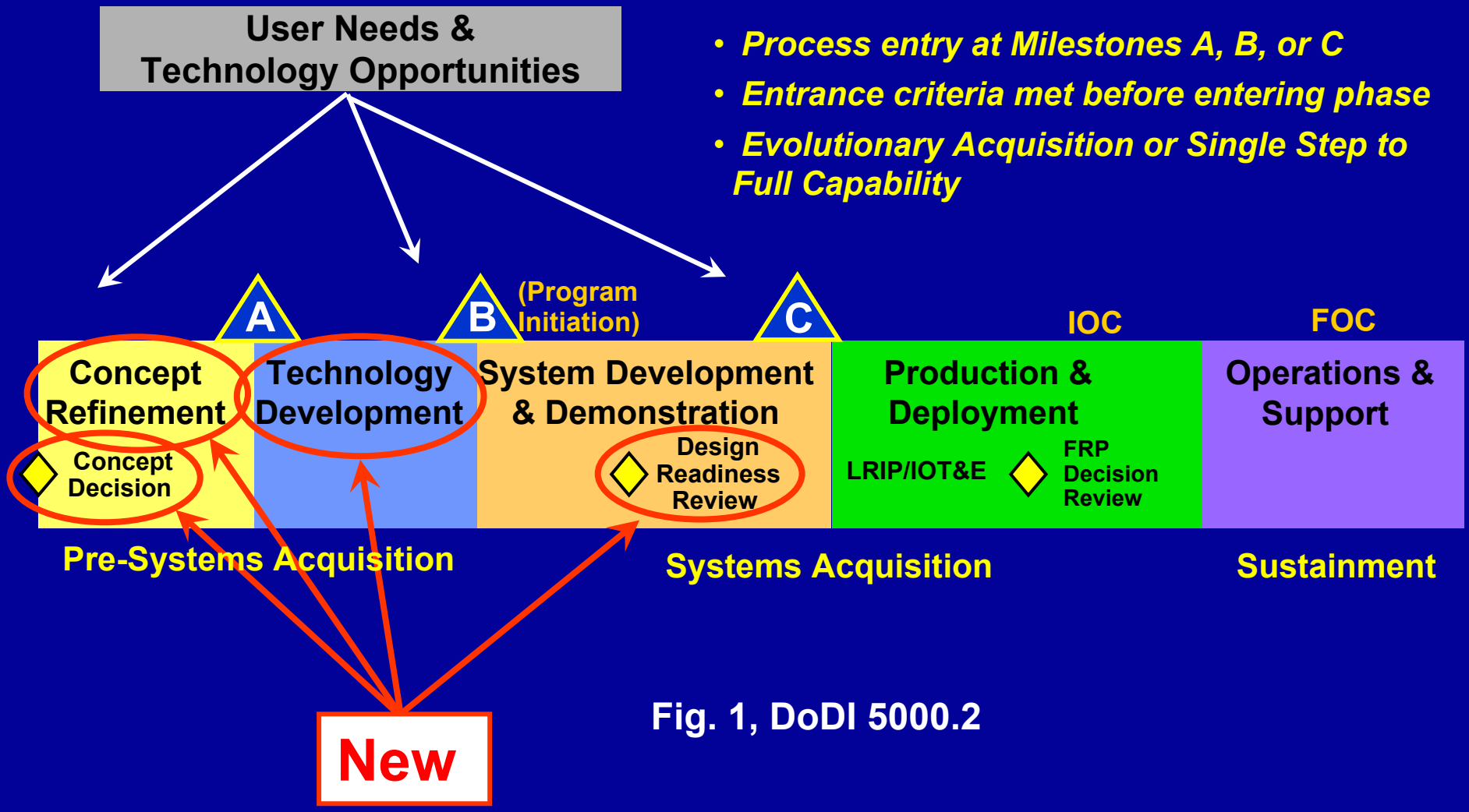
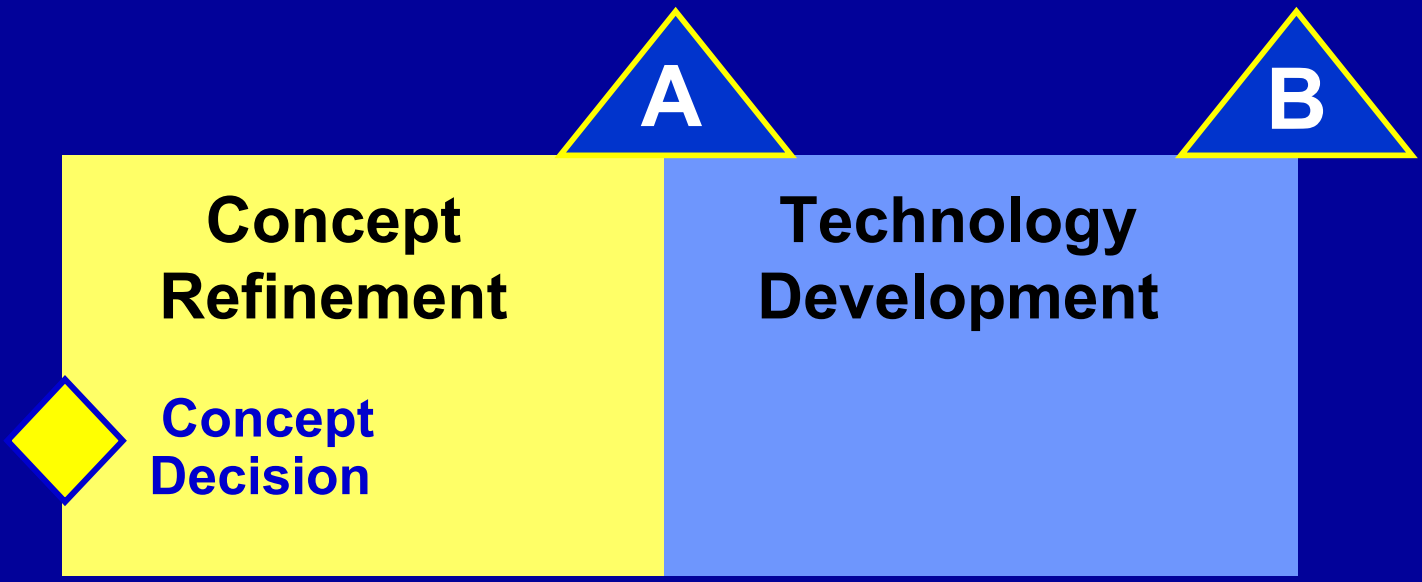


Fig. 1, DoDI 5000.2

The Defense Acquisition Management Framework

DoDI 5000.2, May 2003

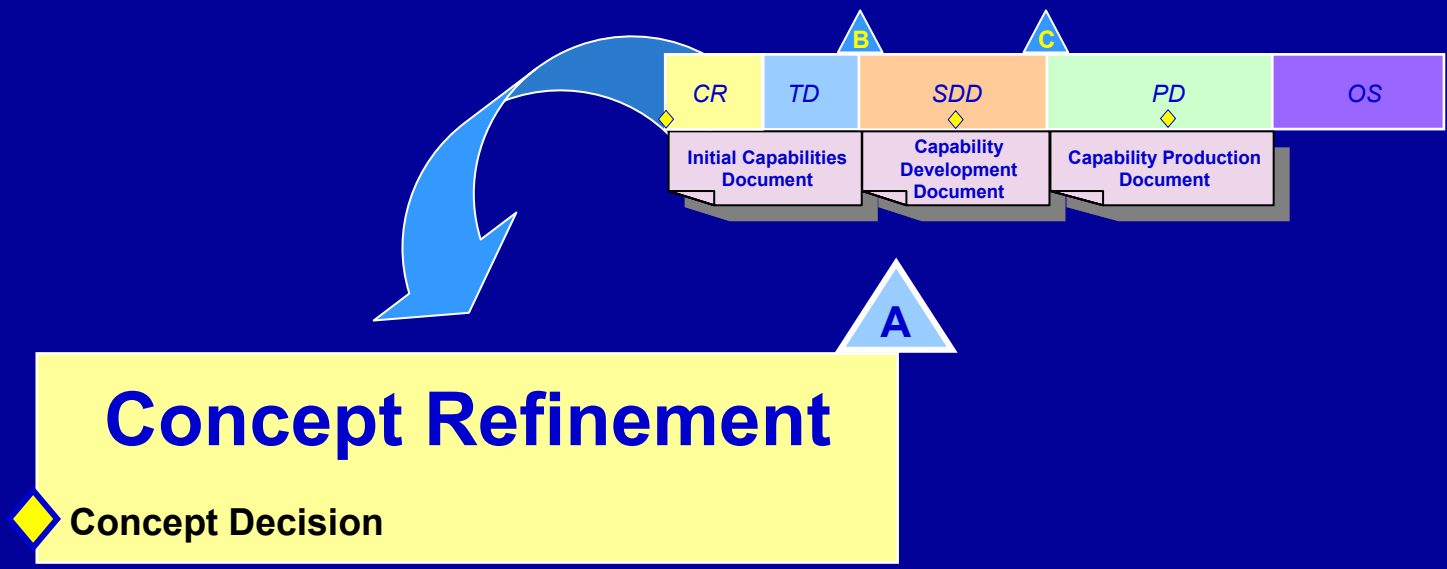


Pre-Systems Acquisition

Highest impact –

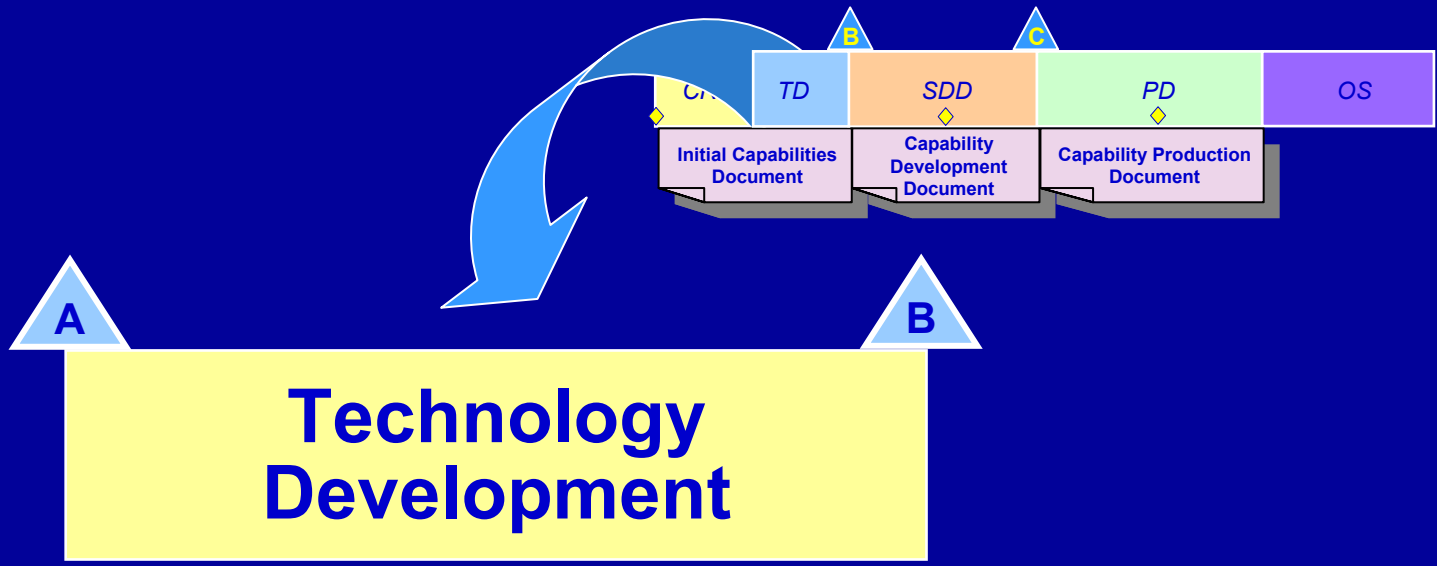
- Concept & Technology Development now two distinct phases
- Concept Decision new decision point driven by Joint Staff requirements for "capabilities analysis"
- Analysis of Alternatives results due at Milestone A

Concept Refinement



- Purpose. Refine the initial concept and develop a Technology Development Strategy (TDS)
- Entrance Criteria. Approved Initial Capabilities Document (ICD); approved plan for conducting an analysis of alternatives (AoA); phase funding
- Exit . MDA-approved preferred solution and TDS

Technology Development



- Purpose. Reduce technology risk; determine the appropriate technologies to be integrated into a full system
- Entrance criteria . MDA - approved Technology Development Strategy TDS; phase funding
- Exit . Affordable increment of militarily – useful capability with technology demonstrated in a relevant environment, and a system that can be developed for production within a short timeframe.

Current Requirements & Acquisition Process
(Joint Staff briefing, 25 Sep 02)

Why change from a "requirements & acquisition process" to a "capabilities & acquisition process"?

The Requirements Generation System frequently produces stovepiped system solutions that are not necessarily based on the future capabilities required by the joint warfighter. Acquisition decisions are typically made from a single system perspective, without the benefit of considering impact to interrelated systems.

New Requirements Documents

Common element is CAPABILITIES

- **Initial Capabilities Document (ICD) replaces MNS at Milestone A**

  Describes desired capability. Evaluates multiple materiel approaches. Recommends a materiel approach.

- **Capability Development Document (CDD) replaces ORD at Milestone B**

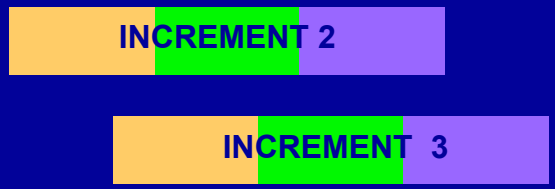
  Describes the SDD effort and provides KPPs for the increment. Describes program to get to complete solution.

- **Capability Production Document (CPD) replaces ORD at Milestone C**

  Describes the SDD effort to produce materiel solution for the increment and provides KPPs for the production increment.

Details will be implemented by CJCSI 3170.01C & CJCSM 3170.01

Evolutionary Acquisition



OR *Single Step to Full Capability ?*

Key Considerations

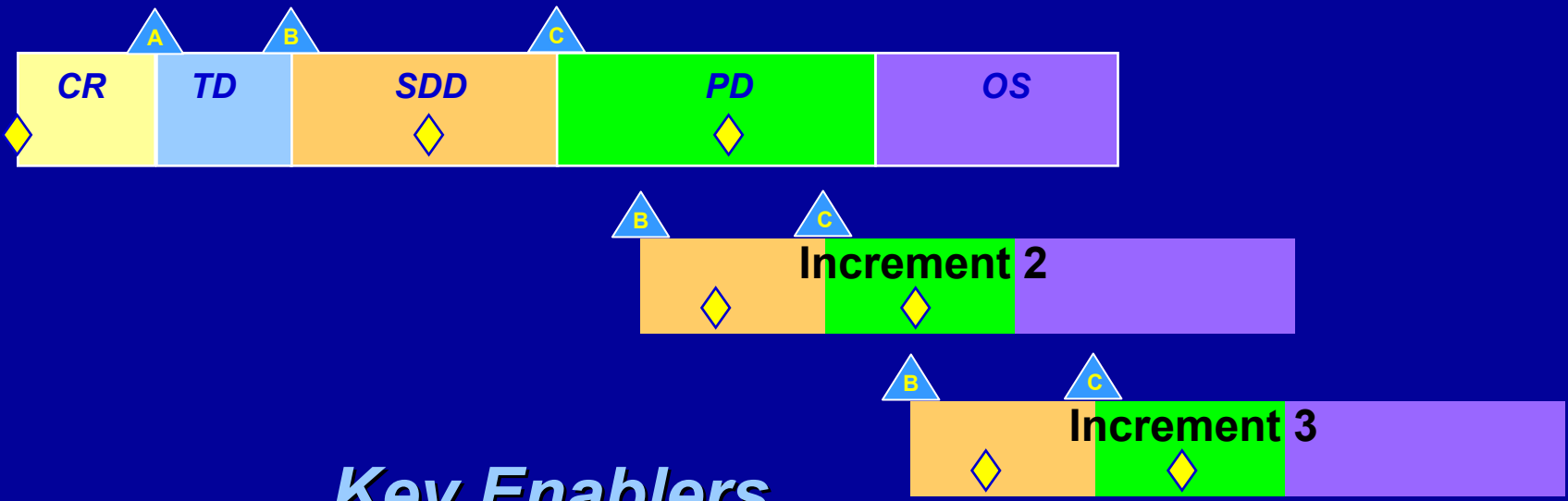
- Urgency of Requirement
- Maturity of Key Technologies
- Interoperability, Supportability, and Affordability of Alternative Acquisition Approaches
- Cost/Benefit of Evolutionary vs. Single Step Approach

DoD Instruction 5000.2
Operation of the Defense Acquisition System

Evolutionary Acquisition

- **Two development processes to implement Evolutionary Acquisition Strategy**
  - ***Incremental Development***: **End-state requirement is known, and requirement will be met over time in several increments**
  - ***Spiral Development***: **Desired capability is identified, but end-state requirements are not known at Program Initiation. Requirements for future increments dependent upon technology maturation and user feedback from initial increments**
- **Evolutionary acquisition strategies shall be preferred approach to satisfying operational needs.**
- **Spiral development shall be the preferred process.**

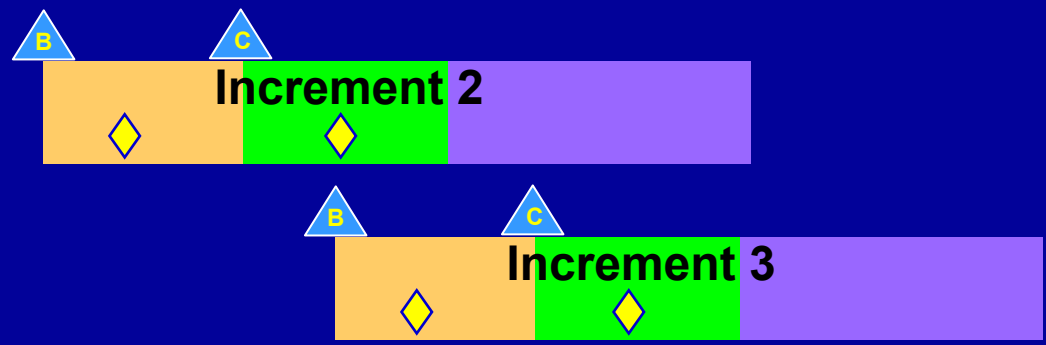
Evolutionary Approach



Key Enablers

- Time-Phased Requirements
- A Modular Open Systems Approach to facilitate Technology Insertion
- Evolutionary Sustainment Strategies
- T&E Consistent with Evolutionary Approach
- Full Funding

Each Increment Must Have…



- Approved Operational Requirements
  - Interoperability Key Performance Parameter
- Performance, Cost and Schedule Goals (Acquisition Program Baseline)
- Operational and Live Fire Testing (If Required)
- Compliance with Acquisition Oversight Requirements
- An Acquisition Strategy that reflects consideration of Logistics Planning; Manpower, Personnel and Training; Environmental and Security Factors; Protection of Critical Program Information; and Spectrum Management
- Other information tailored to the conditions of the program

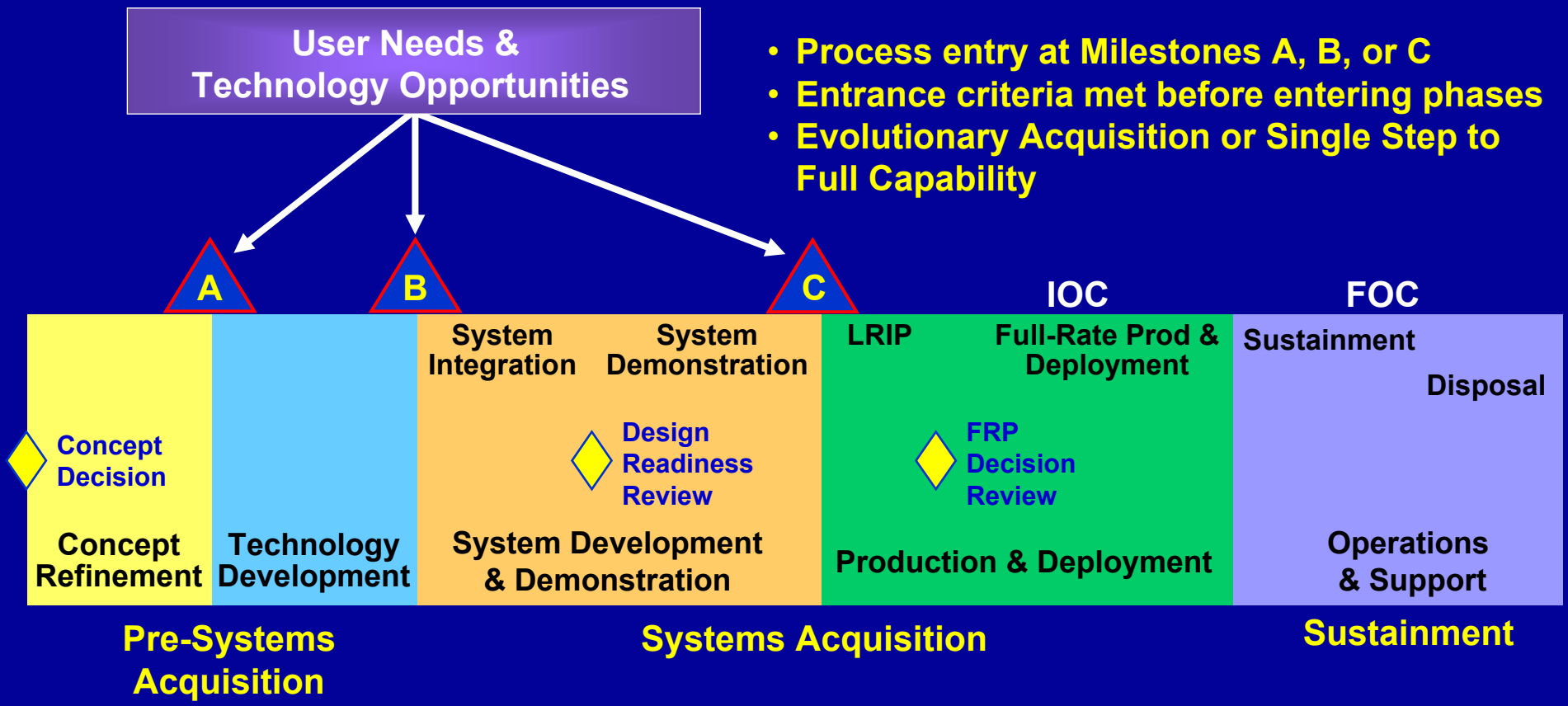
Each Increment is Managed as a Unique Acquisition

DoD Instruction 5000.2
Operation of the Defense Acquisition System

Sustainment

- PM ensures that a flexible, performance oriented sustainment strategy is developed and executed (Total Life Cycle Systems Management)
- PM documents support requirements in performance agreements (PBL emphasis)
- Sustainment strategies evolve during increments of an evolutionary strategy
- For business area capabilities (IT), the PM employs commercial available frameworks and solutions (Enterprise Integration)
  - Best practices toolkit at http://deskbook/dau.mil

The Defense Acquisition Management Framework



- Process entry at Milestones A, B, or C
- Entrance criteria met before entering phases
- Evolutionary Acquisition or Single Step to Full Capability

Initial Capabilities Document (ICD) | Capability Development Document (CDD) | Capability Production Document (CPD)

Validated & approved by requirements Validation Authority

Relationship to Joint Capabilities Integration & Development System

Defense Acquisition Deskbook Transition to AT&L Knowledge Sharing System (AKSS)

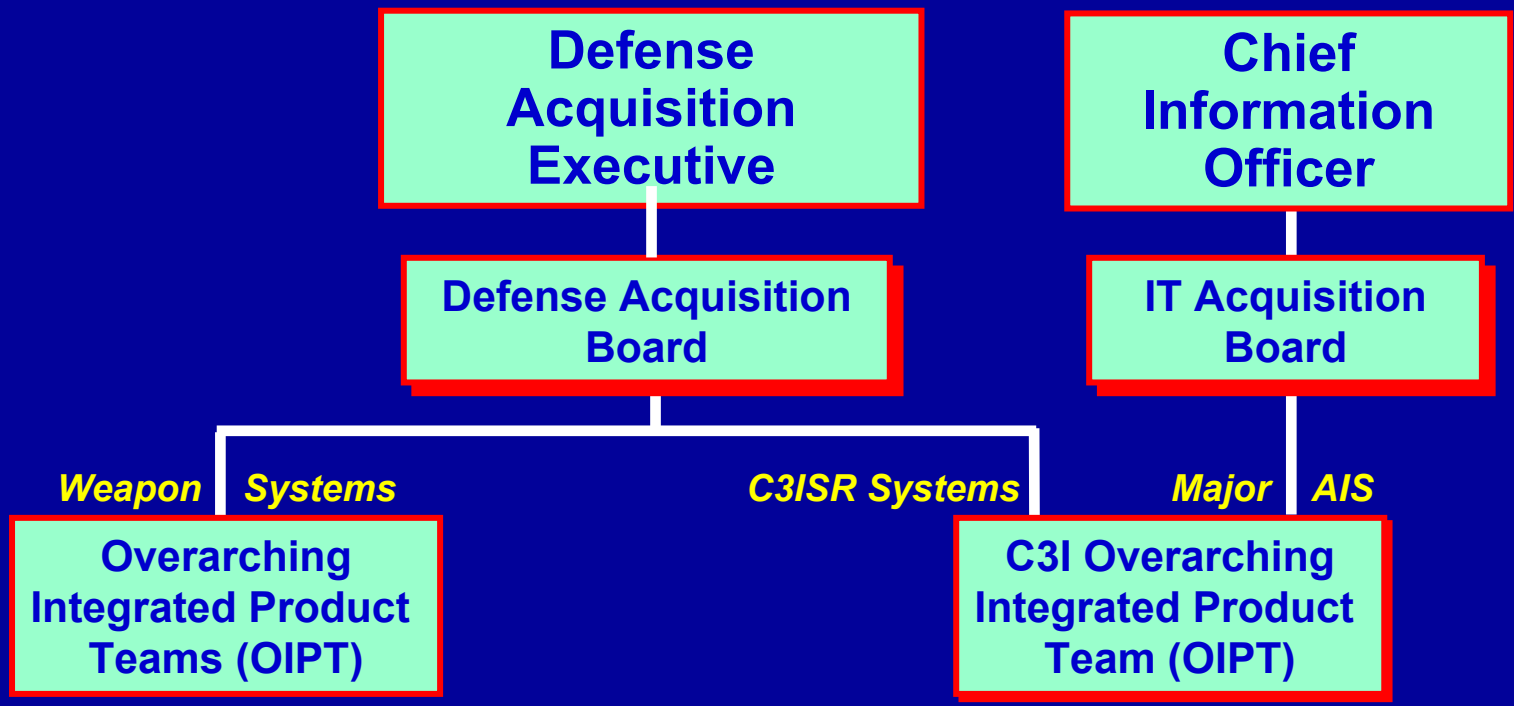
- WHERE DO YOU GO FOR MORE INFORMATION?
  - AT&L Knowledge Sharing System (AKSS)

- Original Deskbook created in 1996 as a resource for mandatory policy, discretionary practices, optional formats and Lessons Learned.
- Was available at first on CD and now on-line.
- AKSS is the next evolution of the on-line Deskbook – the source for all acquisition knowledge.
- AKSS was launched on 1 October 2002. Ver. 2.0 was posted on 15 January 2003.
- AKSS is located at http://deskbook.dau.mil

www.dau.mil

http://deskbook.dau.mil

Oversight & Review
ACAT ID/IAM Programs*



*Note: Space Programs have been delegated to the Air Force and most missile defense programs to the Missile Defense Agency

Defense Acquisition Management Framework
A Short Tutorial

The following charts provide a summary of the acquisition framework based on the new DoD Directive 5000.1 and DoD Instruction 5000.2, dated 12 May 2003.

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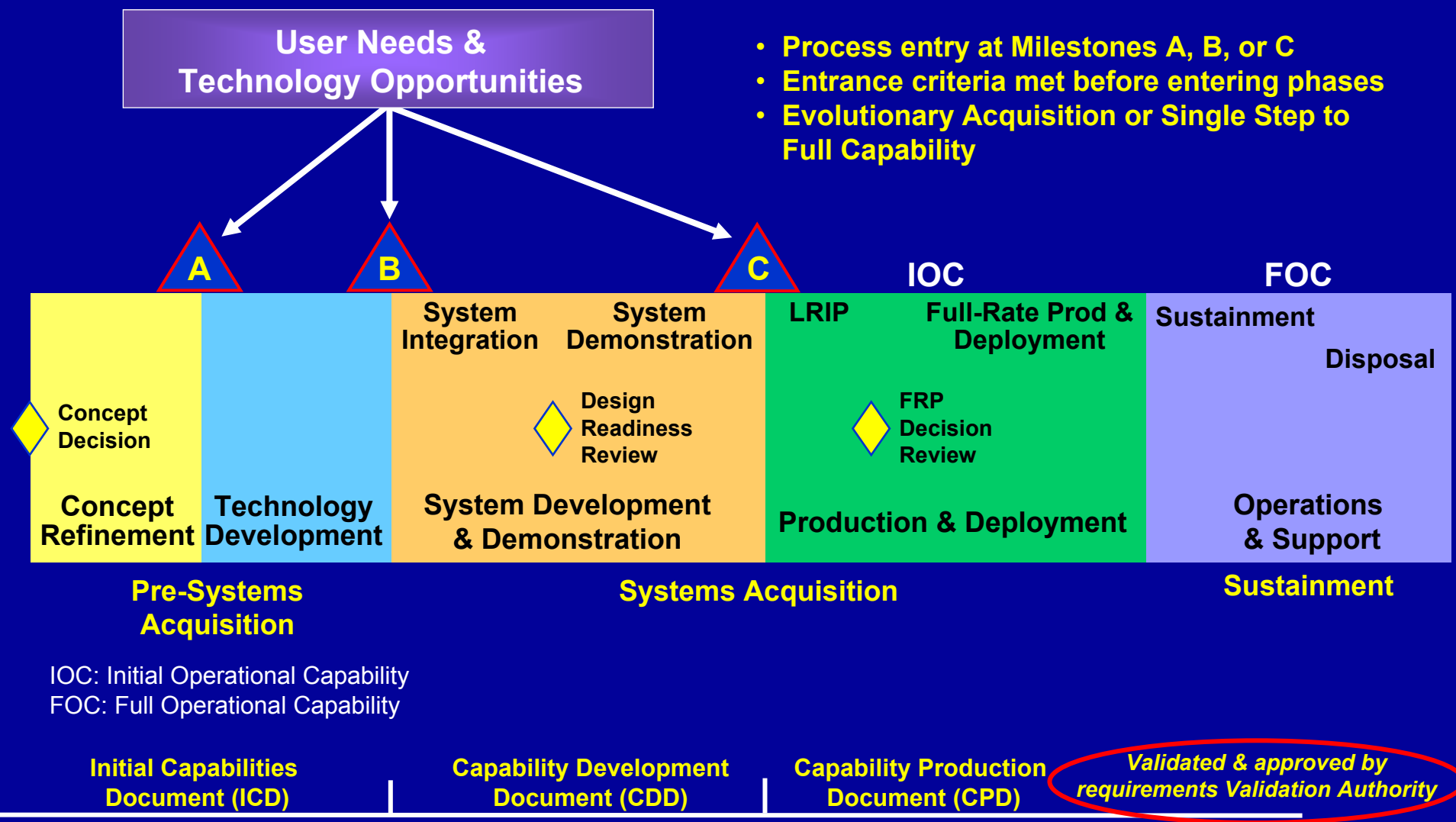
Defense Acquisition Management Framework

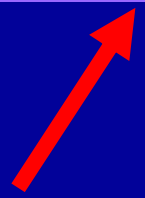
A Tutorial

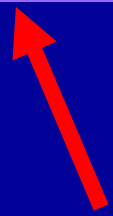
The Defense Acquisition Management Framework



Pre-Systems Acquisition

User Needs & Technology Opportunities
Work Content





User Need

Documents

- **Initial Capabilities Document (ICD) ***

Technology Opportunities

Activities

- **Science & Technology (S&T) activities**
  - **ATDs**
  - **ACTDs**
  - **Joint Warfighting Experiments**

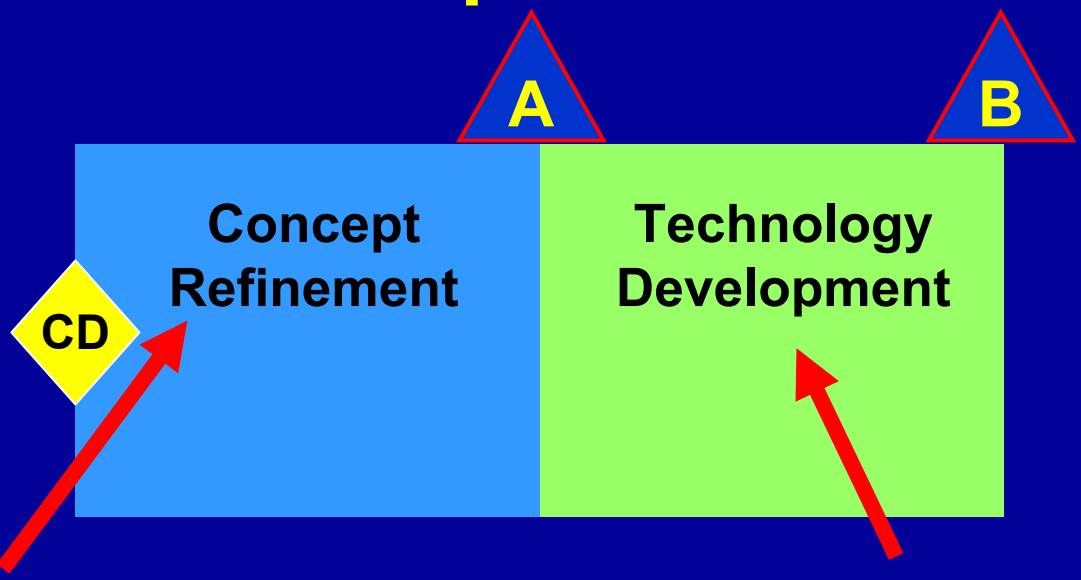
*** MNS was cancelled by Joint Staff Memo on 4 Oct 02. Guidance on ICD will be in revised CJCSI 3170.01 expected in mid 2003**

Hierarchy of Materiel Alternatives

The DoD Components shall work with users to define requirements that facilitate, in preferred order:

1. Procurement/modification of commercially available products, services, and technologies, from domestic or international sources, or the development of dual-use technologies;
2. The additional production/modification of previously-developed U.S. and/or Allied military systems or equipment;
3. A cooperative development program with one or more Allied nations;
4. A new joint Component or Government Agency development program; or
5. A new DoD Component-unique development program.

Concept Refinement & Technology Development Phases



Concept Refinement

Enter: Validated ICD and approved plan for conducting AoA.

- Activity: Refine selected concept, conduct AoA, develop Technology Development Strategy (TDS)

Exit: MDA selects preferred solution and approves TDS

Technology Development

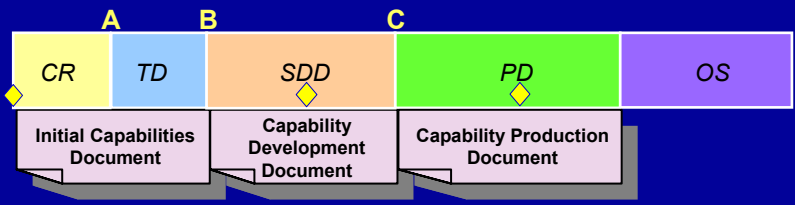
Enter: MDA approved solution and TDS

- Activity: Technology development demonstration(s)

Exit: Affordable increment of military-useful capability identified and its technology has been demonstrated in relevant environment – normally can be developed for production within 5 years

Entering the Acquisition Process at Concept Refinement

The MDA may authorize entry into the acquisition process at any point consistent with phase-specific entrance criteria and statutory requirements



Entrance Criteria

- **Validated ICD resulting from analysis of potential concepts across DoD, international systems from Allies and cooperative opportunities?**
- **An approved plan for conducting an AoA for the selected concept documented in the validated ICD?**

Concept Refinement

Concept Decision

- Approval to enter the Concept Refinement Phase
- MDA approves:
  - AoA Plan
  - Lead DoD Component
  - Date for Milestone A
  - Acquisition Decision Memorandum(ADM)
- Information Requirements:
  - Initial Capabilities Document (ICD)*

* MNS was cancelled by Joint Staff Memo on 7 Oct 02. Guidance on ICD will be in CJCSI 3170.01C and CJCSM 3170.01 expected in mid 2003

Concept Refinement Phase

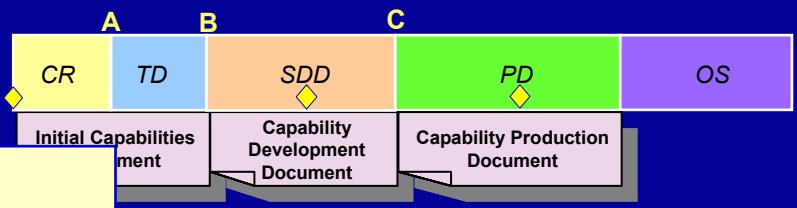
Purpose: Refine the initial concept and develop a Technology Development Strategy

Characterized by:

- Innovation and competition
- Assessment of critical technologies
- Development of rationale for either an evolutionary or a single-step-to-full-capability strategy
- Work guided by the ICD and AoA Plan

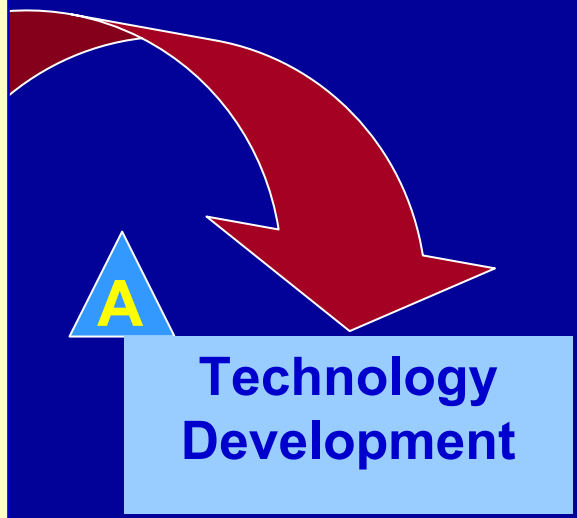
Entering the Acquisition Process at Technology Development

The MDA may authorize entry into the acquisition process at any point consistent with phase-specific entrance criteria and statutory requirements



Entrance Criteria

- Approved Technology Development Strategy?
- Validated Initial Capabilities Document (ICD)?
- For AIS Programs: Does the acquisition
  - support core/priority mission functions that need to be performed by the federal government?
  - need to be undertaken by the DoD Component because no alternative private sector or governmental source can better support the function?
  - support work processes that have been simplified or otherwise redesigned to reduce costs, improve effectiveness, and make maximum use of commercial off the shelf technology?



Milestone A

- **MDA approves:**
  - Entry into Technology Development Phase
  - Technology Development Strategy (TDS)
  - Exit criteria for next phase
  - Acquisition Decision Memorandum (ADM)
- **Information Requirements**
  - ICD
  - Consideration of technology issues
  - Clinger-Cohen Act Compliance (all IT including NSS)
  - Certification of compliance with CCA (MAIS only)
  - Certification of compliance with the FMEA (FM MAIS only)
  - Analysis of Alternatives
  - Economic Analysis (MAIS only)
  - TEMP (T&E strategy only)

Technology Development Phase

Purpose: To reduce technology risk and determine appropriate set of technologies to be inserted into a full system.

Key Activities:

- Development of a system architecture
- Demonstration(s) of technology(ies) in a relevant environment
- Risk reduction on components and subsystems
- Shipbuilding programs may be initiated at beginning of Technology Development

Technology Development Phase
Key Activities, continued..

- Form IPTs to facilitate decision-making
- Capability Development Document (CDD)* prepared by user led IPT
- Conduct cost performance trade-offs
- Develop overall acquisition & T&E strategy
- Formulate initial Acquisition Program Baseline
- Complete Test & Evaluation Master Plan
- Prepare C^4I Support Plan (if applicable)
- Prepare life-cycle / independent cost estimates (including economic analysis for AIS programs)

* ORD until CJCSI 3170.01C issued

Technology Development Phase
Key Activities, continued

- Develop draft performance specification
- Identify potential environmental consequences
- Prepare waiver from full-up Live Fire T&E (if applicable)
- Ensure full funding in FYDP prior to MS B
- Prepare contract package for next phase
- Meet exit criteria for TD Phase
- Propose exit criteria for next phase

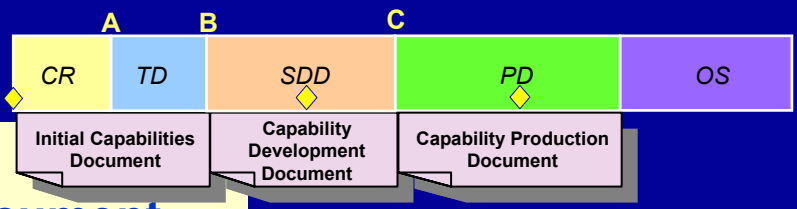
Summary, Technology Development Phase

- Maximum competition and innovation to satisfy requirements
- System can be developed for production within short timeframe (normally less than five years)
- Thorough planning critical to success

BOTTOM LINE: Is New Development Program Justified ???

Entering the Acquisition Process at Systems Development & Demonstration

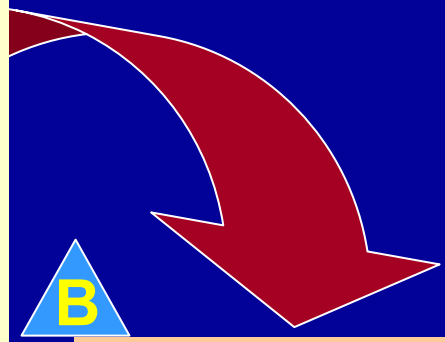
The MDA may authorize entry into the acquisition process at any point consistent with phase-specific entrance criteria and statutory requirements



Entrance Criteria

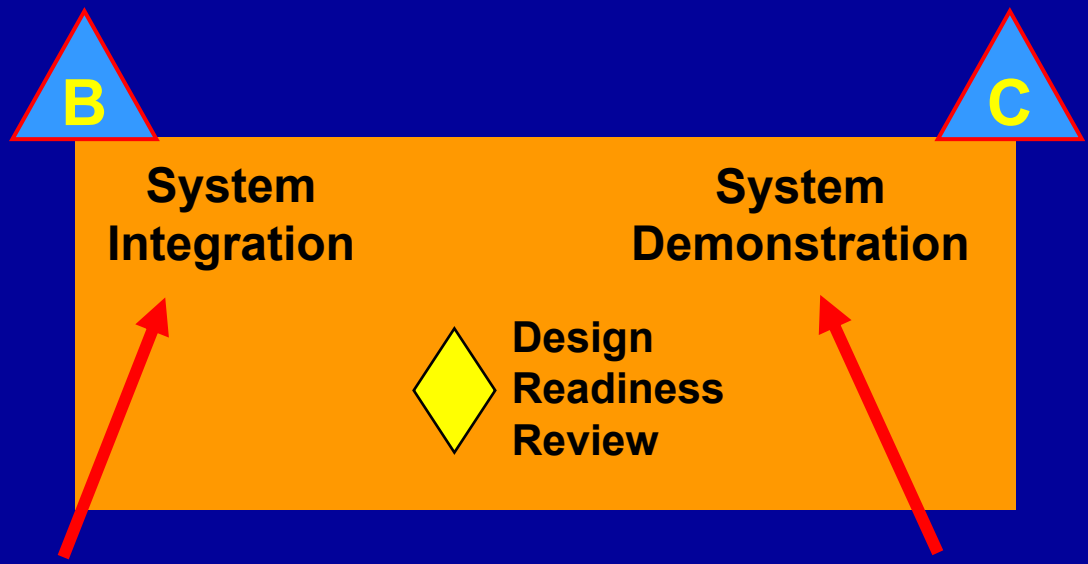
- Have validated Capability Development Document (CDD*)?
- Answers to following questions are "yes"?
  - Does the acquisition support core/priority mission functions of the Federal Government?
  - Does the acquisition need to be undertaken by DoD because no alternative private sector or government source can better support the function?
  - Does the acquisition support work processes that have been simplified or otherwise redesigned to reduce costs, improve effectiveness, and make maximum use of commercial off-the-shelf technology?
- Technology mature?
- Have APB & minimum set of KPPs?
- Affordability determination?
- Full funding in FYDP?

* ORD until CJCSI 3170.01C issued



System Development & Demonstration Phase

System Development & Demonstration Phase



System Integration

Enter: PM has technical solution but has not integrated subsystems into complete system

- Activities: System Integration of demonstrated subsystems and components. Reduction of integration risk.

Exit: Demonstration of prototypes or EDMs in relevant environment

System Demonstration

Enter: Prototypes or engineering development models (EDM) demonstrated in relevant environment

- Activities: Complete system demonstration. DT/OT/LFT&E

Exit: System demonstration in intended environment using EDMs; meets validated requirements

Milestone B

- Requires an approved Capability Development Document (CDD*)
- A PM has been assigned
- MDA approves:
  - Entry to System Development and Demonstration Phase
  - Program Initiation
  - Acquisition Strategy (AS)
  - Acquisition Program Baseline (APB)
  - LRIP Quantities
  - Exit criteria for next phase
  - Acquisition Decision Memorandum (ADM)

* ORD until CJCSI 3170.01C issued

Milestone B: Information Requirements

- Acquisition Strategy
- Acquisition Program Baseline (APB)
- Affordability Assessment
- Analysis of Alternatives
- Benefit Analysis & Determination
- Cost Analysis Requirements Description (CARD) (MDAPs & MAIS only)
- Capability Development Document (CDD) (ORD until CJCSI 3170.01 revised)
- Certification of Compliance with FMEA (FM MAIS only)
- Component Cost Analysis (MAIS; as requested by CAE for MDAP)[1]
- Competition Analysis[2]
- Consideration of Technology Issues
- C4I Support Plan (C4ISP)
- Cooperative Opportunities[2]
- Clinger-Cohen Act (CCA) compliance (all IT incl NSS)
- Certification of Compliance with CCA (MAIS only)
- Core Logistics Analysis/Source of Repair Analysis[2]
- Economic Analysis (MAIS only)
- Exit Criteria
- Initial Capabilities Document (ICD)
- Independent Cost Estimate (ICE) & Manpower Estimate (MDAPs only)
- Independent Technology Assessment (ACAT ID only – as required by DUSD(A&T))
- Industrial Capabilities Assessment[1]
- LFT&E waiver, if appropriate
- LRIP quantities (N/A for AIS)
- Market Research
- Programmatic Environmental Safety & Health Assessment (w/NEPA Schedule)
- Operational Test Agency Report of OT&E Results
- Program Protection Plan (Pgms w/CPI)
- Registration of Msn-Critical and Msn-Essential Information Systems
- Spectrum Certification Compliance
- System Threat Assessment
- Selected Acquisition Report (MDAP only)
- Test & Eval Master Plan (TEMP)
- Technology Development Strategy
- Technology Readiness Assessment

[1] For MAIS when MDA requires an Economic Analysis [2] part of acquisition strategy

System Development & Demonstration Phase

Purpose:

- To develop a system
- Reduce program risk
- Ensure operational supportability
- Ensure design for producibility
- Assure affordability
- Demonstrate system integration, interoperability, and utility

System Integration

- Purpose: Integrate subsystems – reduce systems-level risk
- Key Activities:
  - Demonstrate prototype articles
  - Conduct an Early Operational Assessment (EOA)
  - Prepare for Design Readiness Review (DDR)
  - Prepare RFP for next effort/phase

System Demonstration

- **Purpose: Demonstrate the ability of the system to operate in a useful way consistent with the validated KPPs.**
- **Key Activities:**
  - **Conduct extensive testing: developmental, operational, and survivability/lethality testing, as appropriate**
  - **Conduct technical reviews, as appropriate**
  - **Demonstrate system in its intended environment**
  - **Prepare RFP for Low Rate Initial Production**
  - **Prepare for Milestone C**
  - **Update: Information requirements**

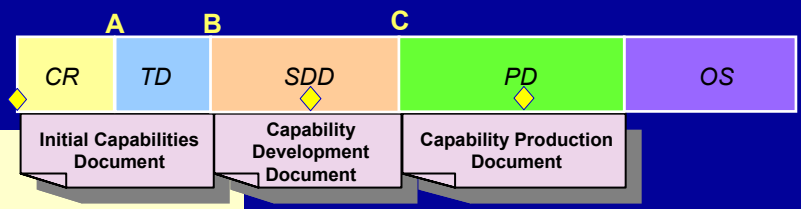
Summary: System Development & Demonstration Phase

- May consist of System Integration *and* System Demonstration depending on:
  - *technology maturity*
  - *affordability*
- System demonstrated in the intended environment; meets validated requirements; industrial capability available; meets exit criteria
- Manufacturing risk low

Bottom Line: System ready to begin LRIP?

Entering the Acquisition Process at Production & Deployment

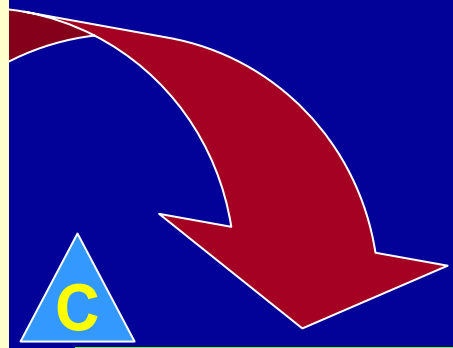
The MDA may authorize entry into the acquisition process at any point consistent with phase-specific entrance criteria and statutory requirements



Entrance Criteria

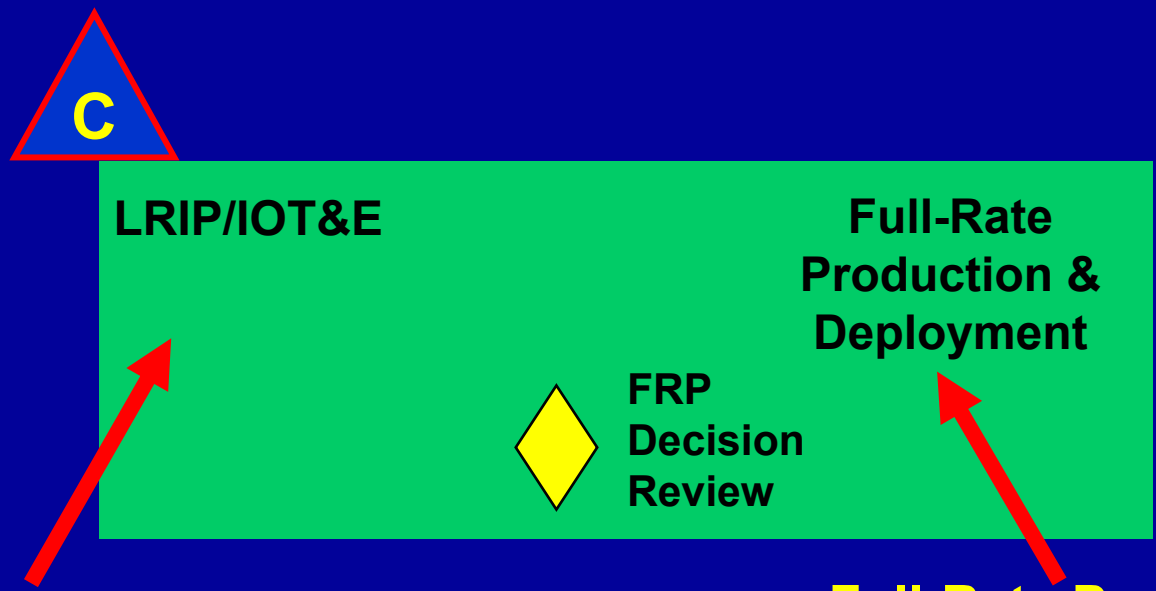
- Acceptable performance in DT&E and Operational Assessment (OA)?
- Mature software capability?
- No significant manufacturing risks?
- Manufacturing process in control (if MS C is for full-rate production)?
- Approved Capability Production Document (CPD*)?
- Acceptable interoperability?
- Acceptable operational supportability?
- Compliance with DoD Strategic Plan?
- Affordable throughout life cycle?
- Optimally funded and properly phased for rapid acquisition?

* ORD until CJCSI 3170.01C issued



Production & Deployment Phase

Production & Deployment Phase



Enter: System matured for production

- **Activities:** Low-rate initial production. IOT&E, LFT&E of production-representative articles. Establish full manufacturing capability.

Exit: System operationally effective, suitable and ready for full rate production

Enter: Beyond LRIP (OSD T&E Over-sight programs) and LFT&E reports (covered systems) submitted to Congress

- **Activities:** Full rate production. Deploy system. Start support.

Exit: Full operational capability; deployment compete

Milestone C

- Commits the Department to Production
- MDA approves:
  - Acquisition Decision Memorandum
  - Updated Acquisition Strategy and Acquisition Program Baseline
  - Entry into LRIP for systems that require a LRIP, into production or procurement for systems that do not require LRIP, or into limited deployment for MAIS programs or software intensive systems with no production components
  - Exit criteria for LRIP if appropriate

Milestone C: Information Requirements

- Acquisition Strategy
- Acquisition Program Baseline (APB)
- Affordability Assessment
- Analysis of Alternatives (MDAPs only)
- Benefit Analysis & Determination
- Cost Analysis Requirements Description (CARD) (MDAPs & MAIS only)
- Capability Production Document (CPD) (ORD until CJCSI 3170.01 revised)
- Certification of Compliance with FMEA (FM MAIS only)
- Competition Analysis[1] (if no MS B)
- Consideration of Technology Issues
- C4I Support Plan (C4ISP)
- Cooperative Opportunities[1]
- Clinger-Cohen Act (CCA) compliance (all IT incl NSS) (if equiv to FRPDR)
- Certification of Compliance with CCA (MAIS only)
- Core Logistics Analysis/Source of Repair Analysis[1] (if no MS B)
- Economic Analysis (MAIS only)
- Exit Criteria
- Initial Capabilities Document (ICD) (if program initiation)
- Independent Cost Estimate (ICE) & Manpower Estimate (MDAPs only)
- Independent Technology Assessment (ACAT ID – as required by DUSD(A&T))
- Industrial Capabilities Assessment[1]
- Programmatic Environmental Safety & Health Assessment (w/NEPA Schedule)
- Operational Test Agency Report of OT&E Results
- Program Protection Plan
- Registration of Msn-Critical and Msn-Essential Information Systems (if program initiation or equiv to FRPDR)
- Spectrum Certification Compliance (if no MS B)
- System Threat Assessment (STA)
- Selected Acquisition Report (MDAP only)
- Test & Eval Master Plan (TEMP)
- Technology Development Strategy
- Technology Readiness Assessment

[1] part of acquisition strategy

Low Rate Initial Production (LRIP)

- **Purpose**: Complete manufacturing development; produce minimum quantities for IOT&E, to establish initial production base, and to permit orderly ramp-up to full-rate production.
- **Key Activities**:
  - Intensive testing: DT, full-up system level LFT&E and IOT&E
  - Update support and deployment plans
  - Prepare RFP for full-rate production
  - Prepare for Full-Rate Production Decision Review (FRPDR)
  - Update: all information requirements.

Full Rate Production Decision Review (FRPDR)

- Approves entry into Full Rate Production
- MDA Approves:
  - Acquisition Decision Memorandum (ADM)
  - Full-rate production
  - Updated Acquisition Strategy
  - Updated Acquisition Program Baseline
  - Exit criteria, if appropriate
  - Provisions for evaluation for post-deployment performance

FRPDR: Information Requirements

- Acquisition Strategy
- Acquisition Program Baseline (APB)
- Analysis of Alternatives (MAIS only)
- Beyond LRIP Report (DOT&E oversight programs)
- C4I Supportability Certification
- Cost Analysis Requirements Description (CARD) (MDAPs only)
- Competition Analysis (part of acquisition strategy)
- Certification of Compliance with FMEA (FM MAIS only)
- Clinger-Cohen Act (CCA) compliance (all IT incl NSS)
- Certification of Compliance with CCA (MAIS only)
- Component Cost Analysis (MDAPS only)
- Exit Criteria
- Interoperability Certification
- Independent Cost Estimate (ICE) & Manpower Estimate (MDAPs only)
- Life Fire Test & Evaluation Report (covered program only)
- Programmatic Environmental Safety & Health Assessment (w/NEPA Schedule)
- Operational Test Activity Report of OT&E Results
- Post –Deployment Performance Review
- Registration of mission-critical & mission essential information systems
- Selected Acquisition Report (MDAP only)
- Test & Eval Master Plan (TEMP)

Full Rate Production and Deployment

Purpose:

- Establish stable, efficient production and support base
- Achieve initial operational capability (IOC)
- Ensure fielded system continues to provide warfighter with required capabilities

Full Rate Production and Deployment

Key Activities:

- Monitor and update the threat
- Produce and deploy the system
- Monitor system performance and readiness of initial system deployments
- Identify and correct shortcomings/ deficiencies to improve performance and/or supportability
- Conduct Follow-On Operational Test and Evaluation (FOT&E), as appropriate

Summary: Production & Deployment Phase

- Consists of both LRIP and Full-Rate Production:
  - Not all programs have LRIP
  - Formal IOT&E and LFT&E conducted
- Monitor systems - correct shortcomings
- Continue testing

Bottom Line: System is produced and deployed; IOC attained

Operations & Support Phase

Sustainment

Sustainment starts immediately upon fielding or deployment.

- Activities: Maintain readiness and operational capability of deployed system(s). Execute operational support plans. Conduct modifications and upgrades to hardware and software. Measure customer confidence.

Disposal

Demilitarization & Disposal

- Activities: Demilitarize and dispose of systems IAW legal and regulatory requirements, particularly environmental considerations. Use Defense Reutilization and Marketing Office support, as appropriate.

Operations and Support Phase*

- Emphasis shifts from design/development engineering to supporting the fielded system
- Operational units established & readiness monitored
- Test and evaluation continues
- Operational/support problems identified
- Product Improvement/Service Life Extension Programs energized, if required
- System disposed of at the end of its useful life

* Overlaps Production and Deployment Phase since items are deployed prior to the end of production, and must be sustained in the field

Check Back Often For…

- Additional information on the new Joint Capabilities Integration & Development System (JCIDS) – the new CJCSI 3170.01C and CJCSM 3170.01
- More on the Future Logistics Enterprise

Information on these and other topics will be posted to this site soon as available. Also, in late summer 2003 continuous learning modules on the Acquisition Process, the Joint Capabilities Integration & Development System, and the Future Logistics Enterprise will be posted to the DAU Continuous Learning Center web site, http://dau.clc.mil